# REFERENCE STUDY GUIDE

INTERNATIONAL CERTIFICATION FOR SPECIALIST IN ANTI MONEY LAUNDERING AND COUNTERING THE FINANCING OF TERRORISM AND PROLIFERATION (CSA INTERNATIONAL)



CSA International is aimed at professionals in the PLD-FTP area who are interested in proving international proficiency in the fundamental concepts of Prevention of Money Laundering and the Financing of Terrorism and the Proliferation of Weapons of Mass Destruction, and on the related international regulations and sanctions.

In order to help candidates to prepare for the Certification Exam, this Study Guide outlines the topics that are covered at CSA International and indicates the main references that were used in the Exam.

### 1. BASIC CONCEPTS (44%):

- Money Laundering: concept, criminal offenses, typologies, stages, criminalization, related crimes, penalty, previous crimes;
- Terrorist Financing: concept, typologies, criminalization;
- · Proliferation of Weapons of Mass Destruction;
- · Politically Exposed Persons (PEPs);
- Risk-Based Approach:
  - Virtual Assets and Virtual Asset Service Providers: International Guidelines for a Risk-Based Approach;
- · Preventive Measures:
  - Know Your Customer (KYC), Know Your Supplier (KYS), Know Your Partner (KYP), Know Your Employee (KYE);
  - · Record Keeping;
  - · Internal Controls;
  - · Suspicious Transactions Reporting;
- · Financial Intelligence Units (FIUs);
- Financial Action Task Force (FATF), and the Global Network to Prevent Money
   Laundering and the Financing of Terrorism and the Proliferation of Weapons of Mass
   Destruction (AML/FTP) (GAFILAT, GAFIC, Moneyval, EAG, etc);
- · The Egmont Group of Financial Intelligence Units;

## 2. RULES AND OTHER INTERNATIONAL LEGAL INSTRUMENTS (50%):

- United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 (Vienna Convention);
- United Nations Convention Against Transnational Organized Crime, 2001 (Palermo Convention);
- · United Nations Convention Against Corruption, 2003 (Mérida Convention);
- · United Nations Convention for the Suppression of the Financing of Terrorism, 1999;
- Organization for Economic Cooperation and Development (OECD) Convention Against Bribery, 1997;
- Financial Action Task Force (FATF) 40 Recommendations;

# 3. TARGETED FINANCIAL SANCTIONS RELATED TO TERRORISM FINANCING (6%):

- · United Nations Sanctions;
- Individual Country National Sanctions as per United Nations Security Council
   Resolution 1373: Office of Foreign Assets Control (OFAC), and European Union (EU).

#### **REFERENCES:**

The references listed below are suggestions of materials that the candidate should have knowledge of in order to take the CSA International. However, the indicated bibliography serves as a minimum criterion and the candidate should not be restricted to them when preparing for the Exam.

- UN Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances,
   1988 (Vienna Convention)
- UN Convention Against Transnational Organized Crime, 2001 (Palermo Convention)
- FATF 40 Recommendations
- Interpretative Notes to the FATF 40 Recommendations (Pages 47-162)
- Resolution 1373 (2001) UN Security Council
- UN Convention Against Corruption, 2005 (Merida Convention)
- International Convention for the Suppression of the Financing of Terrorism, 1999
- OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions
- · Statement of Purpose of the Egmont Group of Financial Intelligence Units
- Egmont Group of Financial Intelligence Units Principles for Information Exchange Between Financial Intelligence Units
- FATF Guidance Politically Exposed Persons (Recommendations 12 and 22)
- Financial Intelligence Units: An Overview (International Monetary Fund)

### **REFERENCES:**

- FATF Guidance on the Risk-Based Approach to Combating Money Laundering and Terrorist Financing - High Level Principles and Procedures
- Directive (EU) 2015/849 of the European Parliament and of the Council of 20 May 2015 on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing
- Updated Guidance for a Risk-Based Approach Virtual Assets and Virtual Asset Service
   Providers

#### **REFERENCES:**

- UNSC Resolutions which impose targeted financial sanctions in the terrorist financing context:
- · Resolution 1267 (1999)
- · Resolution 1333 (2000)
- · Resolution 1363 (2001)
- · Resolution 1390 (2002)
- · Resolution 1452 (2002)
- · Resolution 1455 (2003)
- Resolution 1526 (2004)
- · Resolution 1617 (2005)
- · Resolution 1730 (2006)
- · Resolution 1822 (2008)
- · Resolution 1904 (2009)
- · Resolution 1988 (2011)
- · Resolution 1989 (2011)
- UNSC Resolutions which impose targeted financial sanctions in the context of the financing of proliferation of weapons of mass destruction:
  - · Resolution 1718 (2006)
  - · Resolution 1737 (2006)
  - · Resolution 1747 (2007)
  - · Resolution 1803 (2008)
  - · Resolution 1874 (2009)
  - · Resolution 1929 (2010)



#### **CONTACT INFORMATION**

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